

Docket No. 4173a

INTERACTIVE KEY CONTROL SYSTEM  
AND METHOD OF MANAGING ACCESS TO SECURED LOCATIONS

Cross Reference to Related Application

5 This application claims the benefit of  
Provisional Serial No. 60/224,561, filed August 10,  
2000 for INTERACTIVE KEY CONTROL SYSTEM AND METHOD  
OF MANAGING ACCESS TO SECURED LOCATIONS, by Scott M.  
Serani et al and owned by the assignee of the  
present application.

Background and Field of Invention

10 This invention relates to on-line entry  
control systems and more particularly relates to a  
novel and improved online interactive method and  
system for tracking and maintaining keys or other  
entry control devices in a reliable and secure  
manner.

15 Key management programs have been in  
existence for many years. First came the invention  
of pin tumbler lock cylinders that gave security  
professionals the ability to alter the internal  
configuration of the pins inside the cylinder and  
20 cut related keys to that combination in order to  
affect a change in Users having access to a  
particular Location. Following that invention came  
the development of interchangeable cores that

allowed program managers to physically move the Location of an existing lock cylinder to a different Location and thus again achieve the ability to control the access of Users into various Locations.

5                   Initially, program managers began seeking control over the ability to duplicate keys and thus minimize the inherent security breach of five keys turning into six keys without proper authority. Manufacturers in the industry focused attention on  
10                   various forms of restricting access to key blanks in order to offer program managers the confidence that keys could not be duplicated without a program manager's specific approval.

15                   InstaKey Lock Corporation of Denver, Colorado previously devised a lock cylinder that permits authorized Users to re-key each lock when necessary. For example, when a key is lost or stolen, it is necessary only to insert a replacement key into the lock, turn it 180 degrees and remove it  
20                   along with a wafer from the lock cylinder's pinning. Upon removal of the wafer, only new keys matched to the replacement key will now open the lock and is hereinafter referred to as a "step change." The operation can be repeated a preset number of times  
25                   depending upon the number of wafers in the cylinder that are removable by different replacement keys and then the cylinder can be easily re-pinned through

another designed sequence of steps.

Independent levels of master keying can be incorporated into the re-keyable lock cylinder as described so that User level keys (also referred to as change keys) can be changed without affecting master keys and vice-versa; also, only the people directly affected by the missing key need to receive new keys thereby avoiding a situation where a manager could end up with a number of keys resulting from changes in several User doors for which he or she is responsible. Different levels of security have been incorporated into the system described including (1) making key blanks available only through authorized sources; and (2) placing a serial number on each key to permit tracking of all keys within a system so that, if a key is found or returned, it can be determined whether it is the one believed to have been missing and whether there is a need to re-key.

The foregoing is given more as a setting for the present invention and is merely representative of various types of entry control devices conformable for use in a secure, online entry control system. However, utilizing a lock cylinder of the type described with the ability to rekey each cylinder and to track the identity and whereabouts of each key lent itself particularly

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well to use in combination with a computer program which enabled a customer to establish its own database for tracking and maintaining its keys and limiting access to one or more Locations by selected Users. One such program is described in the Records Management System Manual of InstaKey Lock Corporation, Englewood, CO and is incorporated by reference herein. Nevertheless, there is a continuing need for a data processing system which is capable of using the Internet and/or intranet in conjunction with a relational database in monitoring and recording the information flow and data related to an access control system so that immediate attention and correction can be given to a problem that may arise virtually at any time in different parts of the world. More specifically, there is a continuing need for a data processing system to dynamically link entry control devices, such as, a key to Users to Locations such that access to each Location is controlled and known on a real time basis. In providing such a system, it is important that the data processing system be capable of maintaining current and historical data on each of the three primary components (devices, Locations and Users) so that the complete history of any component is accessible to authorized Users and complete security is established in order to control access

to specific data and information on a "need-to-know" basis.

Summary of the Invention

5 It is therefore an object of the present invention to provide for a novel and improved online interactive method and system for tracking and maintaining access to Locations by selected Users in a reliable and secure manner.

10 It is another object of the present invention to provide a method and system for building, maintaining and recording the interrelationships between Devices, Locations and Users in such a way as to most effectively maintain an access control program for a specific Location.

15 It is a further object of the present invention to provide a data processing system and method which will enable immediate data manipulation from any geographic Location by an authorized User through the use of digital communications to a centralized database; and further wherein the method and system are capable of protecting data integrity by limiting access to data over the Internet only to authorized Users as well as for a method and system for accurately cross-checking such data and  
20 information.  
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It is an additional object of the present invention to provide for an online interactive

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system which is capable of differentiating between those Users authorized only to know who has access to a particular Location and those Users authorized to actually have access to that Location.

5                   In accordance with the present invention, there has been devised, in a method for managing access by one or more Users, an interactive system for managing access via a global communications network by one or more Users to a secured Location wherein an entry control device is assigned to said Location for use in gaining access by each said User comprising in combination: data processing means having a plurality of databases, each of said databases defining a predetermined level of access to said Location; means for assigning a password to each said User corresponding to one of said levels; and each of said databases having one or more functions selectable by each said User according to said User's password.

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20                   In a method for managing access by one or more Users via a global communication network to a secured Location wherein an entry control device is assigned to said Location for use in gaining access by each said User, the steps comprising: providing computerized data processing means having a plurality of databases, each of said databases defining a different level of access to said

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Location; assigning a password to each said User which corresponds to one of said levels; and providing one or more functions in each of said databases from which each said User can select.

5           The above and other objects, advantages and features of the present invention will become more readily appreciated and understood from a consideration of the following detailed description of preferred and modified forms of the present invention when taken together with the accompanying  
10           drawings in which:

Brief Description of the Drawings

          Figure 1 is a flow diagram of a preferred process for gaining access to a database in  
15           accordance with the present invention;

          Figure 2 is another flow diagram illustrating the manner in which a session has ended in accordance with the present invention;

          Figure 3 is a flow diagram representing the process of confirming a selection from the main menu followed by verification of authority;  
20           

          Figure 4 is a flow diagram directed to the decision process involved in determining the type of look-up desired and verification that the User has  
25           authority for such look-up;

          Figure 5 is a flow diagram representing a look-up device;

Figures 6 to 9 are flow diagrams representing other look-up possibilities;

Figure 10 is a flow diagram for adding functions;

5 Figure 11 is a flow diagram directed to the addition of keys or other entry control devices;

Figure 12 is a flow diagram representing the addition of a Location;

10 Figure 13 is a flow diagram representing the addition of a User to access the system;

Figure 14 is a flow diagram representing the placing of an order for a new key or entry control device;

15 Figure 15 is a flow diagram representing the addition of a new master key chart into the database for a specific application;

Figure 16 is a flow diagram for deleting functions from a system;

20 Figure 17 is a flow diagram of routine modifications to the system;

Figure 18 is a flow diagram of routines for editing reports;

25 Figure 19 is a flow diagram of the initial portion of miscellaneous processes built into the data base and verification that the User has authority to select particular routines;

Figure 20 is a flow diagram of the steps

followed to permit a User to modify profiles of other Users;

Figure 21 is a flow diagram of the steps followed to alter screen privileges for each User;

5           Figure 22 is a flow diagram of routines built into the data base by which a User can modify a specific screen;

Figure 23 is a flow diagram of a User validation process;

10           Figure 24 is a profile table illustrating levels of security in an access control system in accordance with the present invention; and

15           Figure 25 illustrates examples of different levels of security within the access control system of the present invention.

Detailed Description of Preferred Embodiment

The terms employed in describing the preferred form of access controlled system are intended to have the following meanings:

20           "Device(s)" are those tangible/intangible objects which allow an authorized Device-User to gain access to a geographic Location (or alternatively, deny access to an unauthorized User). Devices may be tangible items containing encoded  
25           criteria which are assigned to and in possession of a Device-User but are independent of the Device-User. Such Devices are portable in that they may be

moved from Device-User to Device-User or reconfigured to a different encoded criteria, such as, mechanical key, card such as that utilized in a card access or ATM system, Dallas Chip or other electronic signaling mechanism, and bar codes. Devices may be intangible items of information which are assigned to and in possession of a Device-User, such as, code number(s) utilized in keypad/combination lock processes, PIN numbers utilized in a variety of security and ATM systems, and code words or phrases. Devices may be tangible and irrevocable features of the Device-User thus performing the function of identification (encoding), such as, fingerprints, retina scans, and voice patterns.

"Locations" are places defined as an element of a security system primarily in two categories: (1) a place or heirarchy of levels of access at a given place physically protected by a securing mechanism (mechanical or electronic) and configured to allow entry to a Device-User in possession of a properly configured Device; and (2) any data, records or information at a particular place being used in conjunction with the management of a security system but not necessarily containing a securing mechanism itself, such as, information at a remote facility utilizing the Internet to manage

data at corporate headquarters.

"User" is an individual involved with, dependent upon, or utilizing security data composed of Devices, Locations, and Users.

5 (i) "Device-User" is one type of User which is permitted access to defined Locations by way of the issuance and configuration of Device(s) in the possession of that Device-User, such as, an employee granted access to a department has a key,  
10 a contractor having access to the front door carries a card, and a driver opens a gate by way of a padlock combination, etc.

15 (ii) "Database-User" (DB-User) is an individual specifically authorized to access and/or configure data as it relates to the integration and usage of the security system, such as, security system's database manager, a manager allowed to view access privileges to a Location, and remote security personnel to override a securing mechanism, third  
20 party vendor managing/supporting technical aspects, etc.

"Software" means computerized elements (hardware, software, communications, etc.) designed for the primary purpose of integrating and managing  
25 Devices, Users, and Locations to achieve a desired security effect. Software is a relational database structure linking Users to Devices to Locations in

5 a dynamic environment so as to provide access as required and/or mandated by a security program. Software is designed to be used at a User's own host computer directly or a third party host computer remotely (via a User's own network or the Internet). Software is a fully secured system allowing access to data (all or part) on a "need to know" basis by a DB-User. By DB-User by window, each DB-User can be authorized to View, Add, Modify, and Delete.

10 "View" is the ability to see system database interrelationships. For example, a security guard may be authorized to view which Device-Users are allowed access to a particular Location, a department manager may be authorized to create a report of all outstanding Devices to his department, a facilities manager may be granted privileges to view all keys issued to contractors, or a loss prevention professional or auditor may be granted access to all issued Devices to all Device-Users in order to confirm data integrity, etc.

20 "Add" is the ability to physically make additions to the database (new Devices, Device-Users or DB-Users, or Locations). For example, the ability to place an order of a new Device to be issued to a new Device-User, authorization to create all the data necessary for a new Location and thus all the Devices and Device-Users to be associated

with that Location, and security clearance to add additional DB-Users to the access control system.

5 "Modify" is the ability to modify existing database entries. For example, an individual in charge of "temporary Devices" (keys identified as temporary issuance keys) may record the handling of a loaner key to a temporary Device-User and/or the receipt of that loaner key when returned, the ability to record a Device as lost/stolen/found, record the transfer of a Device from one Device-User to another, ability to alter existing Location and/or User data (i.e. type of hardware on a door, PIN number at an ATM or telephone number of a User), and a security director 10 authorized to make changes to the security access of Software by DB-User (View, Modify, Add, Delete). 15

"Delete" is the ability to physically delete existing database entries. For example, a Location no longer part of the User's security program needs all data related to that Location 20 purged from the database.

"Profile Table" is a parameter driven function, as shown in Figure 24, that links every display screen of the Software to each DB-User 25 authorized to access a given database. By defining a DB-User's privileges by screen and by function (View, Add, Delete, Modify) and further defining





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5 together the three fundamental elements, namely, Devices, Locations, Users to a selected database via the global communication network; and, depending upon the DB-User's level of security, interactively carry out a function correlated with that level of security in a manner to be hereinafter described in more detail.

10 Referring in more detail to the drawings, there is illustrated in Figure 1 the manner in which an authorized DB-User can access the data and information needed to perform a particular job function. The DB-User employs the Software or computer C to connect to the global communication network or Internet I. From there the DB-User proceeds to the home page and is presented with information about the access control system. Of particular importance is that the DB-User must login by a prearranged User name and multi-level password. The prearranged User name and passwords are used as identifiers to ensure that an authorized DB-User can proceed. Assuming that the DB-User is authorized to enter via rlogin R, this DB-User will now be constantly confirmed as to which data, screens, and functions are allowed. Specifically, in the routines outlined, once the login is determined to be valid, the DB-User can access a desired database or level of security and is then able to proceed to

the Main Menu.

As illustrated in Figure 2, the DB-User has the option to select a session termination, and, if selected, is logged off and is now back to the home page H illustrated in Figure 1. Otherwise, if the requested database is valid for the DB-User, he is then presented with the main menu screen at E1 from which it is possible to maneuver to the function to be performed, as illustrated in Figure 3. The DB-User is asked to select a function as at 30, and the requested function 31 is first verified to be a valid function as at 32. If not, the DB-User is asked to input once again. Once a valid function is input, a security check is processed at 33 to confirm that the DB-User has the privileges granted to ask for the requested function. For example, a security guard may be permitted to look up data about a specific Device-User but is not allowed to manipulate such data. In contrast, a director of security for the entire program may have full privileges to those having access to a particular office even though he does not have privileges to that office. Most importantly, the DB-User has the ability to access controlled data delivered in a real time and controlled venue from any Location in the world and to request a particular function at 34, namely, those designated

at E2 through E7 and E9 as more fully shown in Figures 4 to 19 and as hereinafter described in more detail.

5                   Figure 23 illustrates a fundamental  
decision process used throughout the Software to  
control access to functions and data in exact  
accordance with preestablished criteria by each  
authorized DB-User. From wherever this routine has  
been called as designated at F, the User profile and  
10                   screen privileges for the current DB-User is  
retrieved from the Profile Tables at 250. At 251,  
the Software compares the requested primary screen  
to the authorization for such primary screen in the  
tables. If the DB-User is not authorized for this  
15                   primary screen at 252, a message is displayed  
accordingly and program logic reverted to the point  
from which the request was made initially. If  
authorized, the Software at 253 further determines  
if a screen Variation is required. If a primary  
20                   screen is authorized, the primary screen is  
displayed at 254 and program logic returned to the  
point from which this routine was invoked. If a  
screen Variation is required based on the definition  
in the Security Access Tables, the Variation is  
25                   formulated at 255, displayed at 256 and program  
logic returned to the point from which this routine  
was invoked.

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By way of introduction, there are a variety of predefined processes to deliver information on a screen associated with the Software that answers to common access control questions, as typified by Figures 4 through 9. Figure 4 illustrates one branch used to determine the type of look-up the DB-User wishes to pursue and is presented with a menu of different selections or choices as designated at 40. A selection is made and validated at 41 and 42, then confirmed at 43, as shown in Figure 23, that the DB-User is authorized for a particular request. Thus, for example, a security guard may be authorized to look up a particular Device to confirm ownership, but the same person may not be allowed to view a Location. If the DB-User is not authorized as at 43A, must then reselect at 40; otherwise, if authorized as at 44, may select one of the selections as illustrated in Figures 5, 6, 7, 8 or 9 to be described.

In Figure 5, one example is given in which a key was found and must establish its ownership and the door which it operates. Thus, someone with proper authority must look up information about the Device or key found. The Software will request the serial number or other ID of the Device to be entered as at 45 and 46. The key number is validated as a proper number for this database as at

47 or if invalid at 48. If valid, a screen appears as at 49 displaying the designated Device-User, relevant Locations for the Device, date of issue and other information. Other associated data linked to the Device may be hot linked on the screen to make further investigation easy on the part of the DB-User, once the DB-User has been determined to be authorized for such access via Figure 23. Thus, the screen at 49 can automatically create hot links to listed locations and user if more indepth look-up is desired. The screen at 49 also offers the ability to go back to the main menu or to additional look-ups via the hot links as indicated.

The Location Look-Up as indicated at Figure 5 offers a variety of look-up possibilities by location, such as, lost key to front door of a location, need to re-key or burglary committed, need to know who has access; or security director needs to know what users are involved.

Figure 6 illustrates a similar scenario for a lost key in which the Location is requested at 50 and entered at 51. A variety of easy enter modes exist include character recognition and pull-down menus when DB-User enters Location. If the Location is valid as at 52 and DB-User authorized as at 53, a screen appears indicating Location data. Any associated data linked to the Location or hot



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5 related Device-Users. For this purpose, the screen automatically creates hot links to listed Devices and Locations if more in-depth look-up is desired. The screen also offers the ability to go back to main menu or additional look-ups.

10 Another look-up process is illustrated in Figure 8 for viewing overall status of the access control system at 65, such as, current state of master key system in place for different levels, or status of an order placed for new keys to be issued. Thus the DB-User, with proper authorization, may enter a request as at 66, its validity determined at 67, and authorization of User determined at 68. If affirmative, a display will appear at 69 together with standardized hotlinks associated with the displayed information to enable the DB-User to analyze the access control situation.

15 Figure 9 illustrates other look-up possibilities wherein an input screen is presented at 70 for certain information, the DB-User enters data to be investigated at 71, the data is validated at 72, and authorization determined at 73 leading to display of information requested on the screen 74. The foregoing look-up processes described in relation to Figures 4 to 9 are given more for the purpose of illustration and to demonstrate real time data that is available to an authorized DB-User from

any Location at any time.

Figure 10 illustrates the manner in which a new Device (key), Location, or Device-User may be added to a system or new system to a database. Thus, as illustrated at 76, a new Location, order, Device-User or Device is presented for selection by the DB-User, then selected at 77 and valid function determined at 78. Authorization of User is determined at 79 and then the nature of request ascertained at 80 from several different possibilities as designated at 3A, 3B, 3C, 3D and 3E as further illustrated in more detail in Figures 11 to 15.

In the example given in Figure 11, the addition of a key blank (an uncut key or unprepared/encoded Device) is recorded by first presenting a menu of Device types for addition at 82, selecting the type of blank to add at 83, verifying that it is a valid function at 84, and that the User is authorized to perform the function at 85. Proper verification results in a blank data entry screen 86 whereby the User enters all relevant data at 87 and the system performs appropriate editing at 88. Once complete, the Software records the entry as at 89 and then inquires whether more such entries are desired or not via 90, 91, and 92.

The process of adding a Location into a

particular database is illustrated in Figure 12 wherein the DB-User enters a new Location at 94 and appropriate data relating to that Location at 95. The data is verified at 96 and then as a response authorized as a DB-User via Figure 23. Proper verification results in a blank data entry screen 97 and the DB-User enters relevant information at 98, the Software editing in accordance with established database parameters. Once complete, the Software records the entry at 99 and asks the User if more keys or Devices are to be entered as designated in 100, and a selection is made at 101.

A process similar to that of Figure 12 is illustrated in Figure 13 for adding a User at a particular level of security to an existing Location. An authorized DB-User is asked for the type of User to add at 102 and a response is entered at 103. The Software verifies that the function is valid at 104 and determines the type of User addition at 105. If the type of User being added is a new DB-User, Software transfers accordingly (Figure 19). Otherwise authorization of the DB-User to add a new Device-User is confirmed at 106. If so authorized, the new Device-User data entry screen is presented at 107, and the DB-User enters all other relevant data at 108 which is verified at 109 and, if accurate and complete, is recorded at 110 in the

5 database. The DB-User is then asked if more Device-Users are to be entered at 111, the DB-User responds at 112 and a decision to add more made at 113 in which event the DB-User is either returned to the data entry routines for new Device-Users at 107 or other available software entry points as selected by the DB-User.

10 The process of placing an order, for example, a new key for a new Device-User to allow that Device-User access to a specific Location) is illustrated in Figure 14 wherein the DB-User is presented with a blank order header entry screen at 120. The DB-User enters the appropriate data on the screen as at 121, the Software editing in accordance with established parameters at 122. If all data entry is valid a screen is presented offering choices of product to be ordered at 123 wherein the DB-User makes his selection at 124 and is confirmed for ordering authorization (Figure 23) at 125. 15 Validated authorization to order a key results in a blank entry screen at 126 by which the DB-User requests the exact key needed in submitting the request at 127, the Software validating the type of key being requested at 128 and that the DB-User has authority to order this type of key at 129. 20 Complete validation results in the Software recording the order at 130, a request to the DB-User 25



DB-User is asked to name the incoming system and system header information at 150 and 151. The Software checks for duplicate system names data integrity in accordance with established criteria at 152 appropriately recording system header information in the database at 153. The DB-User is then asked to direct the Software to the Location of the data files (previously generated using a different software program) being imported at 154 and 155 whereby the Software then locates the file at 156 and imports the data from a source of mathematical charts 158 into the database at 157.

Figure 16 illustrates the manner in which a selected Device, Device-User, or Location may be deleted from the database. Thus, as illustrated, a screen is presented of delete types at 160, the DB-User selects the type of deletion desired at 161, the Software confirms the type of deletion at 162, verifies authorization for the requested deletion at 163 (Figure 23) transferring program logic at 164 to the requested and programmed routine. Said routines are quite similar to various described "Add" routines and therefore are not presented as figures herein.

Figure 17 illustrates the manner in which a selected Device, Device-User, or Location may be modified from its current form in the database. A



fully control access to the stored data by each individual DB-User as well as perform various database related utilities. Figure 19 illustrates the manner in which the DB-User selects a desired miscellaneous process of programmed processes at 190 and 191, wherein the Software validates the request at 192, confirms authorization of the DB-User for the requested process at 193 (Figure 23) and transfers program logic to the requested and authorized process at 194. Sample processes include: DB-User Maintenance at 195, the process by which a DB-User is actually identified and structured as an authorized DB-User as shown in Figure 20; screen authorization at 196, the process by which a DB-User is assigned various screen privileges such as add, modify, view, delete as in Figure 21; screen maintenance at 197, the process by which screen displays are physically configured to meet the authorization requirements of a particular DB-User as in Figure 22; various database maintenance routines as indicated at 198 and 199 and other preprogrammed processes not directly tied to the maintenance and control of the key management program (Devices, Locations and Users) as designated at 187, 188 and 189.

Figure 20 illustrates the process by which an authorized DB-User adds, modifies or deletes





continuation or termination of these screen authorization routines.

Referring to Figure 24, DB-User 1 typically is a Manager or Security Director of the User company who is programmed to be able to use all three Primary screens meaning he can see all (data) and do (view, modify, add, delete) everything. DB-User 2 typically may be an assistant to a Manager who is programmed to perform any function on Primary Screen 1 but can only use Primary Screen 2 as Variation 1, Variation 1 having been previously defined by field as to what the individual can see (data) and do (view, add, modify, delete) by field.

Figure 22 illustrates the process flow by which a managing DB-User can create customized Variations of Primary Screens such that a specific DB-User can only see or do exactly what the managing DB-User authorizes another DB-User to see and do. At 230, the managing DB-User is presented with a list of all Primary Screens of which those Primary Screens with already established Variations have been highlighted to inform the DB-User that Variations of that Primary Screen are already available. The managing DB-User selects the Primary Screen from which he wishes to concentrate at 231, subsequently selecting to modify an existing Variation from a drop down list of Variations in 232

or to create a new Variation. At 233, the Software determines based upon the DB-User selection to present the selected Variation for modification at 234 or the selected Primary Screen for creation of a totally new Variation at 235. At 234 or 235, the managing DB-User is allowed to alter each field of the selected screen Variation in order to describe Add, Modify, View or Delete privileges, by field as well as define data delimiters (e.g. only data for a specific department). Upon completion of the field-by-field modifications, the managing DB-User views a current version from which to determine if more modifications are required or not at 237 with confirmation at 238, at which point, the screen is permanently recorded in the screens file at 239 and the managing DB-User presented with the option to do more screen variations or not at 240.

Referring back to the definition of Device-User, Figure 25 graphically depicts different typical Device-User situations but is not intended to be limiting on the number of applications possible for Device-Users. In a corresponding manner to that described with respect to Figure 24, it is possible to control the level of access of each Device-User to one or more secured Locations based on the password assigned to that Device-User. The Device-User also may be given additional



5 created Device to a Device-User and records the  
 activity. Throughout the entire Example, every  
 individual with authorized privileges has access to  
 the information as it occurred, namely, that a new  
 key was ordered in Rome at a given hour of a given  
 day, that a Device was prepared, recorded and  
 shipped to Rome, whereupon receipt of the new  
 Device, was handed to the person authorized to  
 receive it. Thus "real time" means the actual  
 10 digitized activity as it occurs being made available  
 to whomever is authorized to view such data from  
 wherever that DB-User may be located while  
 maintaining a single database of information.

15 As employed herein, the term "global  
 communications network" may refer to intranet as well  
 as internet usage. It is therefore to be understood  
 that while preferred and alternate forms of the  
 invention are herein set forth and described, the  
 above and other modifications and changes may be  
 20 made without departing from the spirit and scope of  
 the present invention.